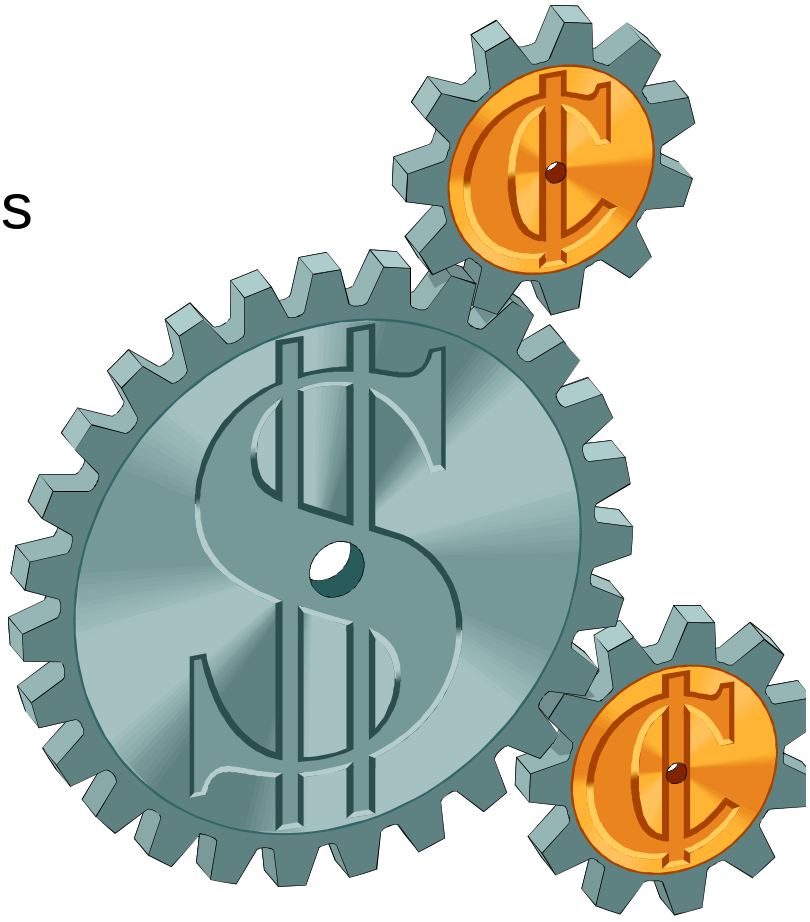
SD-6

Provisions Governing Qualification

Qualified Products List
And
Qualified Manufacturers Lists



Defense Standardization Program Office

August 1999

SDMP

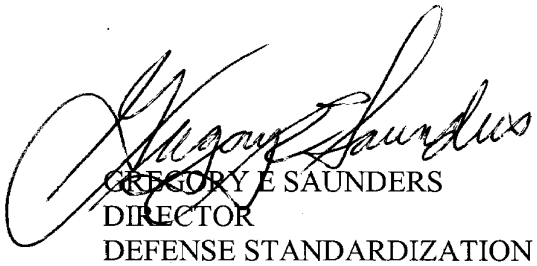
FOREWORD

This document is issued pursuant to Appendix 2 of the current issue of the Defense Standardization Manual, DoD 4120.3-M, *Defense Standardization Program, (DSP), Policies and Procedures.*

These provisions are issued as guidance for manufacturers and their authorized distributors who wish to submit products for qualification. A product may be qualified only when the governing specification or non-government standard contains a requirement for qualification. Lists are not otherwise established for qualification.

Applicants applying for qualification should address inquiries to the government activity named in the specification under which he or she proposes to qualify a product or process. Additional information as to the policies and procedures used by the Department of Defense for establishing Qualified Products Lists (QPLs) or Qualified Manufacturers Lists (QMLs) is available in the current issue of DoD 4120.3-M which can be obtained from the DoD Single Stock Point, Standardization Document Order Desk, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094. Copies may also be viewed or downloaded from the following websites: http://web7.whs.osd.mil and http://www.dsp.dla.mil.

Recommended changes to this publication should be sent to the Defense Standardization Program Office, ATTN: DLSC-LM, 8725 John J. Kingman Road, Suite 4235, Fort Belvoir, VA 22060-6221.



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CHAPTER 1:

THE QUALIFICATION PROGRAM

WHAT IS QUALIFICATION?

The general provisions of Chapter 2, together with the specific provisions of Chapters 3 and 4, govern the authorization for and testing of products and certification of processes submitted for qualification.

Qualification is the process by which products, processes, or materials of manufacturers and distributors are examined and tested, to determine conformance to specification requirements in advance of, and independent of, an acquisition. Products and manufacturers that successfully pass the qualification process are then identified on a list of qualified products or qualified manufacturers. Criteria for retention of qualification are applied on a periodic basis to assure continued integrity of the qualification status. (See Appendix 2 of DoD 4120.3-M). Before a Qualified Products List (QPL) or a Qualified Manufacturers Lists (QML) can be established, an approved and dated federal or defense specification or a non-government standard (NGS) must exist which requires qualification and sets forth the qualification examination, tests, and criteria for retention.

Appendix 2 of DoD 4120.3-M, *Defense Standardization Program Policies and Procedures* provides detailed procedures for the establishment and maintenance of the qualification program, and the associated QPLs and QMLs. The information in DoD 4120.3-M implements 10 U.S.C. 2319. It must be applied consistent with that statute and with Subpart 9.2 of the FAR.

Testing for conformity to the requirements of a specification in advance of, and independent of, a specific acquisition (contract award) is known as qualification testing.

The primary benefit of qualification is that it improves the availability of products and shortens the procurement process by completing long or highly complex evaluations and tests of manufacturers or products prior to award of contract. Qualification improves readiness by improving the availability of products with requisite quality, reliability, performance, and safety. Qualification can also help reduce costs by eliminating repetitive surveillance audits and tests.

Qualified Products List

A Qualified Products List focuses on qualifying products or families of products. A QPL will normally be appropriate for items of supply which have a stable design/composition and will be continually available for an extended period of time, thereby making it practicable to qualify individual products without incurring prohibitive testing

costs. A product that meets the established qualification requirements will be listed on a QPL.

Qualified Manufacturers List

A Qualified Manufacturers List focuses on qualifying a manufacturer's materials and processes rather than products. A QML will normally be appropriate for items of supply that are experiencing very rapid technological advances or have a myriad of variations or custom designs that make individual product qualification impractical or excessively expensive. A QML applies to processes or materials that generally meet the following criteria:

- They do not have recognized industry part numbers.
- They are procured to a specification that covers a wide range of technologies—like hybrid microcircuits.
- They are a family of products with similar characteristics—like printed wiring boards.

Representative worst case test vehicles or representative samples that contain all potential combinations of materials and processes used during production are carefully examined in order to determine acceptability limits. As evidence that those processes and materials meet the established qualification requirements, the envelope of acceptable processes and materials will be listed on a QML.

Who is Responsible for Qualification?

The preparing activity for a specification is responsible for qualification, however, the preparing activity can have an agent maintain the specification for them. In many cases the preparing activity is also the qualifying activity. The preparing activity can establish a qualifying activity or agent to administer the qualification program, or perform certain elements of the qualification program. Adopted NGSs are assigned to an adopting activity, so, hereafter the term "Preparing Activity" also means the "Adopting Activity."

Figure 1-1, *Qualification Process Management,* shows the general DoD qualification process.

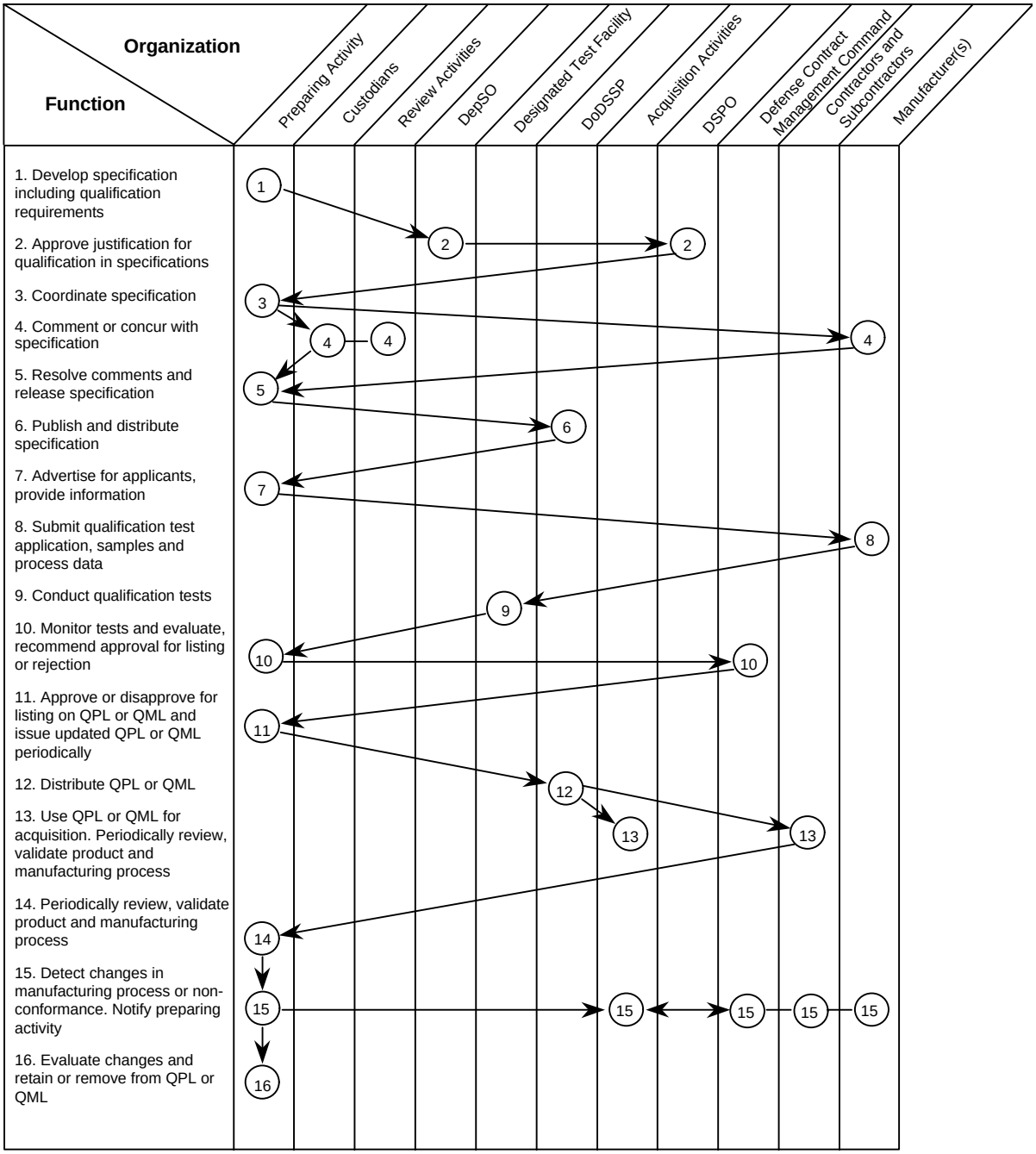

Figure 1-1. Qualification Process Management

Intent of a QPL or a QML

A QPL or a QML allows the manufacturer to provide, and the purchaser to obtain, satisfactory pre-contractual evidence that a product or a family of products has been tested and has met the requirements of the applicable specification. The purpose is to:

- Reduce acquisition and procurement lead-time.
- Reduce test costs by minimizing redundant, long, and expensive tests.
- Improve readiness through continuous availability of reliable products from viable suppliers.
- Establish and standardize the requirements for evidence of manufacturer's capability in advance of acquisition.

NATO STANAG 4093

For the qualification of products of North Atlantic Treaty Organization (NATO) nations see:

NATO STANAG 4093, "Mutual Acceptance by NATO Member Countries of Qualification of Electronic and Electrical Components for Military Use," Edition No. 4, January 22, 1993

What Qualification Does Not Do

Inclusion of a product or a manufacturer on a QPL or a QML does not relieve the supplier of his contractual obligation to deliver items meeting all specification requirements. It does not guarantee acceptability under a contract. It does not waive any requirements for inspections or for maintaining quality control measures satisfactory to the government, nor does it relieve the original equipment manufacturer of his contractual obligations to ensure that delivered items (including the qualified items used in the equipment) comply with all specification requirements.

ASSIST ONLINE

QPLs and QMLs can be viewed online at: http://assist.daps.mil/online

CHAPTER 2:

GENERAL QUALIFICATION POLICIES

APPLICATION FOR QUALIFICATION

A manufacturer's application for qualification is made by letter or other appropriate media as requested by the qualifying activity. The manufacturer's application shall be addressed to the activity indicated in the "Notes" section (Section 6) of the applicable specification. Each application contains the number and date of the specification under which tests are desired and the type, grade, class, or other specification designation of the product. The application also includes the brand designation for the product and the exact location (including complete street address) of the plant at which the product was manufactured. (When the applicant is a distributor, the name and plant location of the actual manufacturer will be included.)

If the tests are to be conducted in a facility other than one owned or operated by the government, the location of the facility will be furnished, and, with the initial application only, an annotated list of test equipment will be provided. The list will include the equipment's and the manufacturer's names, the type or model number, and the serial or inventory number. Information about equipment accuracy, limits, and the frequency of calibration will be included. The latest date and place of calibration will be given, and (when specifically requested) the calibration will be traced to national or other recognized standards.

In addition, the application includes certification that the applicant:

- Agrees to be bound by all of the provisions and terms set forth in this document.
- Is the manufacturer of the product or a distributor authorized by the manufacturer to distribute the product with the manufacturer's brand or to rebrand and distribute the product under his own brand and designation. A distributor who rebrands will furnish certification from the actual manufacturer that he is authorized to rebrand and distribute the product with his own brand designation.
- Has determined from actual tests (within the limits of test equipment commonly available, unless otherwise specified) that the product conforms to the applicable specification. (Test reports and data should be furnished with the application.)

Source Of Qualified Products Or Qualified Manufacturers Lists

Lists of qualified products or qualified manufacturers are for the use of the government and its contractors and subcontractors in the acquisition process.

Lists are available to the public upon request and are distributed by DoD Single Stock Point, Standardization Document Order Desk, 700 Robbins Avenue, Building 4D, Philadelphia, PA 19111-5094 (215) 697-2667.

- Will supply products for test which are samples from the manufacturer's normal production.

- Will supply products that meet the requirements of the specification in every respect.

- Will overcome deficiencies disclosed by qualification testing.

- Will not apply for a retest of the product until satisfactory evidence is furnished that any defects disclosed by previous tests have been corrected. (Test reports may be required as evidence.)

- Will not state or imply in advertising or otherwise that a product (or products) that has received DoD qualification approval is the only product of that type so qualified, or that DoD in any way recommends or endorses the product.

- Will notify the qualifying activity of any change in design, material, manufacturing processes (including quality control), or plant location after qualification approval. As part of the notification the applicant will state whether he believes the change will prejudice the capability of the product to meet the qualification test requirements. He will state whether the changes will affect the applicant's brand designation for the product, and he will state whether he intends to submit new samples for testing or desires to have his product removed from the Qualified Products or Qualified Manufacturers List.

- Will, when requested by the qualifying activity, submit certification (Certification of Qualified Products, DD Form 1718) signed by a responsible official of management, attesting that the listed product(s) or process(s) are still available from the listed plant, can be produced under the same conditions as originally qualified (i.e., same process, materials, design, manufacturer's part number or designation), and meet the requirements of the current issue of the specification.

- Will include provisions for self-audit of the processing, fabrication, assembly, inspection, and testing of the product. The results of the self-audit program, which promptly reports nonconformance (deviations) and corrective action to management, will be made available upon request.

- Has maintained, and will continue to maintain, effective management for quality, clearly prescribed and documented by the manufacturer. Manufacturer personnel performing quality functions will have sufficient, well-defined responsibility,

authority, and the organizational freedom to identify and evaluate product quality problems and to initiate, recommend, and enforce solutions. Management will periodically review the status of the quality program for effectiveness.

- Will submit a statement signed by a responsible official of management that if the product or the process is removed from the QPL or the QML, the manufacturer will take the responsibility of notifying its customers and distributors within 3 working days of notification of removal. The government reserves the right to publicize this removal, including the reason for removal, when it deems necessary. The government may exercise this right through such channels as the *Commerce Business Daily*, Government Industry Data Exchange Program (GIDEP), or trade publications and associations.

- Agrees to provide the government access, upon request, to technical records, personnel, and facilities pertaining to manufacturing, processing, inspection, and testing to assure compliance with all the specification requirements.

ADDITIONAL INFORMATION TO SUPPORT THE APPLICATION

In certain cases the government may find the information required above insufficient to justify an authorization for qualification testing. In those cases the preparing activity may request the following information, which is to be provided at no cost to the government:

- The rate at which the applicant can produce the product with his present plant facilities.

- Sketches, photographs, descriptive booklets, or other technical literature bearing upon the product that will assist the government in obtaining a clear conception of the product or process the applicant is offering.

- Such additional information as is required by the applicable specification.

Data

When requested by the qualifying activity, the applicant will furnish, at no cost to the government for test record purposes, copies of any detailed plans, specification test results, or other data required (number required and the media will be specified by the qualifying activity). If such data includes information which the applicant has

determined is proprietary and does not wish disclosed to the public or used by the government for any purpose other than testing the product or process for which qualification is desired, the applicant will identify and mark the data which he considers to be proprietary. He will insert the following legend on each sheet containing proprietary data:

> "*These data are considered by the supplier to be submitted in confidence and furnished for the purpose of facilitating qualification testing and are not to be disclosed outside the Government nor to be duplicated, used, or disclosed in whole or in part, for any purpose other than to evaluate the product submitted for qualification testing. This restriction does not limit the Government's right to use information contained in such data if it is obtained from another source.*"

Government's Obligations on Availability of Data

Except as required by the Freedom of Information Act, 5 U.S.C. 552, the government will not distribute qualification data unless the qualifying activity obtains the consent of the manufacturer, determines that the release is in the best interest of the government, and follows current security policies. Once release is approved, the qualifying activity may supply the data to other government activities and supply the data to foreign governments that are purchasing, operating, or maintaining supplies that involve products covered.

EXTENSION OF QUALIFICATION

Qualification applies only to the product, process, or material that is manufactured at the plant that produced, examined, and tested the sample. The qualifying activity may, however, extend qualification to the same product or family of products produced by the same or other plants of the manufacturer when the following conditions exist:

- Examination or test of the product of other manufacturing plants shows that the product is, in all aspects, at least equal to the initial qualified product test sample.

- The quality control and processing at the other manufacturing plants are such that the products produced there are at least equal to the qualified product. Ordinarily, this determination will be based on inspection of the plant, its quality control system, and its processing procedures. If a facility or product line, or both, come under new ownership and management, the

qualifying activity must reevaluate to ensure that the product or process is unchanged and that the new ownership and management can provide products of the requisite quality, reliability, and safety. The qualifying activity will document the evaluation and retain it in the permanent file.

QPL Listings of Extended Qualification Products

Products to which qualification has been extended under the family of products concept are listed on the appropriate portion of the QPL in the same manner as tested products, except that the manufacturer's designations or type numbers of the successfully tested products on which the family qualification has been based will be listed in the place normally reserved for the test or qualification reference test report number.

RETENTION OF QUALIFICATION

Once a manufacturer’s products or processes are qualified, the manufacturer must do the following to retain the qualification:

- Certify that the listed product is still available from the listed plant, can be produced under the same conditions as originally qualified, and meets the requirements of the current issue of the specification. This certification must be done every two years or as specified in the specification, unless the requirement is waived by the qualifying activity.

- Periodically submit new test data (if required in the specification or requested by the qualifying activity).

- Complete requalification testing (if required in the specification or by the qualifying activity).

CHAPTER 3:

THE QUALIFICATION PROCESS

INITIAL QUALIFICATION PROCEDURES

Response to Request for Qualification by Manufacturer

Why the Government Qualifies Products or Manufacturers

- Unacceptably long testing required
- Tests require special equipment not commonly available
- Qualification is for survival or emergency life-saving equipment
- Item is designated as safety critical in the Federal Logistics Information System

The qualifying activity should send applicants the following information as soon as possible after their requests for qualification have been received:

- A copy of the latest issue of the specification.
- A copy of this document (SD-6) with a specific request for the necessary information and certification.
- A schedule of charges for qualification testing, if applicable.
- Facilities survey requirements, when applicable.
- A statement that no qualification testing will be authorized until the applicant has been notified in writing that the required information has been received and determined to be satisfactory.
- Any other information, such as reports.

Request for Qualification by an Authorized Distributor

A distributor may be listed on a QPL, but not on a QML. When a distributor wishes to qualify a product carrying its own brand designations, the distributor requests the manufacturer to certify that the distributor is authorized to rebrand and distribute the product with the distributor's brand designation. When the authorized distributor is certified to rebrand the part, the original part manufacturer's identification will be included on the part. If there is not enough space on the part for the authorized distributor's rebrand and the original manufacturer's identification, a code symbol for the original manufacturer will be used. The original manufacturer's identification or the original part manufacturer's code symbol allow traceability to the original manufacturer for failure analysis, corrective action, and lot identification.

When the authorized distributor furnishes such certification, the distributor will provide a sample of the rebranded product for qualification. The authorized distributor does not perform qualification examination and testing until the certification requirements stated in Chapter 4 have been met. The qualifying activity may extend qualification approval to the rebranded product without further test, if the manufacturer certifies that the rebranded product is the same as the product previously qualified under the manufacturer's designation. The authorized distributor submits its brand designation, its name and address, the name and address of the actual manufacturer, and the address of the plant at which the product was manufactured. Authorization for a distributor to rebrand applies only to products listed on a valid QPL at the time of the rebrand request.

Furnishing Products Not Requiring Additional Listings

To be eligible for award of a contract, a supplier must state in his or her bid the name of the actual manufacturer, the address of the plant where the product was manufactured, the brand designation, and the qualification test reference. Additionally, the supplier must certify that the product being offered to the government has not been added to or changed in any way by the supplier, and is the product of the manufacturer that is listed on the QPL. Additional listing of the product on the QPL is required only when the product is rebranded with the brand designation of an authorized distributor.

Manufacturing Facilities (Plant) Audit (Survey)

When the qualifying activity requires a facilities audit, the audit will be conducted before authorization of test and will apply to both domestic and foreign manufacturers. Facilities audits for products will be conducted when specified in the specification, or when otherwise necessary (e.g., fraud, non-compliance, etc.) to assure product compliance with the specification requirements.

Inspection systems, quality and reliability assurance programs, test facilities, processes, materials, production facilities, test capability, and incoming inspection may be audited. The audit will verify that the manufacturer has an effective self-audit program.

If proprietary products or processes are involved, that portion of the audit must be performed by, and any access to the proprietary information must be limited to, employees of the government who have a need to know the information. The government will handle all proprietary data in a controlled and secure manner to ensure that no

unauthorized dissemination occurs. The government maintains qualification data and reports for its records. Proprietary information, commercially sensitive data, or matters relating to national security should be appropriately identified in the audit report as "restricted for release." This identification notifies the government of information that requires protection from release to other sources. No request for such information will be accommodated, unless the government determines that the information was either incorrectly restricted by the contractor or is already available to the public. The government will not release restricted data until the manufacturer who furnished the information is notified and has the opportunity to object to the release. If the manufacturer objects, the qualification data will only be released as required by the Freedom of Information Act, 5 U.S.C. 552.

Notification of Test Results (Qualification Approval)

The qualifying activity will provide the test results to the manufacturer and inform him whether or not the product or process has qualified. If a product or process fails to qualify, the qualifying activity will inform the manufacturer promptly and furnish specific reasons as to why the testing was not approved. When a product does qualify, a letter of notification will be furnished to each custodian of the specification; to the authorized distributor (if he is the applicant); and to the GSA (if a federal specification is involved). The letter of notification will include the listing as it will appear on the QPL or the QML. The listing will contain the following information:

- Government designation under which the product qualified (type, class, or other designation, as shown on the specification).
- The applicant's brand designation for the specific product, family of products, or processes.
- The test or qualification reference (test report number) assigned to the products or sample test specimen.
- The complete address to which correspondence will be sent and the complete address of the plant that manufactured the product, family of products, or specimen submitted for test.
- The commercial and government entity (CAGE) code, as applicable.

The letter of notification will state the following conditions regarding the listing:

- Listing does not guarantee acceptance of the product in any future purchase.
- Listing does not constitute a waiver of any requirements of the specification or of the provisions of any contract.
- Any use of the listing for publicity, advertising, or sales will not state or imply that the product or the process is the only one of that type so qualified, or that the government in any way recommends or endorses the manufacturer's product in preference to other qualified products. (Violation is cause for removal from the list).
- Listing applies only to products produced in, or process used in, the plant specified in the letter of notification. The listing is effective at 8:00 a.m. (local time of the qualifying activity) as of the date of the letter of notification.
- Listing applies to amendments or revisions of the specification, unless otherwise notified.
- Listing applies only to products or processes identical to those qualified (or to products defined in the family of products granted qualification coverage). The qualifying activity must be advised in advance of any intended change to a qualified product or process and must be provided with a complete description of the change. Failure to notify the qualifying activity of any change is cause for removal from the listing regardless of the extent of the change.
- Manufacturers must comply with the requirements for retention of qualification to retain the listing. Failure to comply will be sufficient cause for removal from the listing.

Figure 3-1 is a flow chart of the above process.

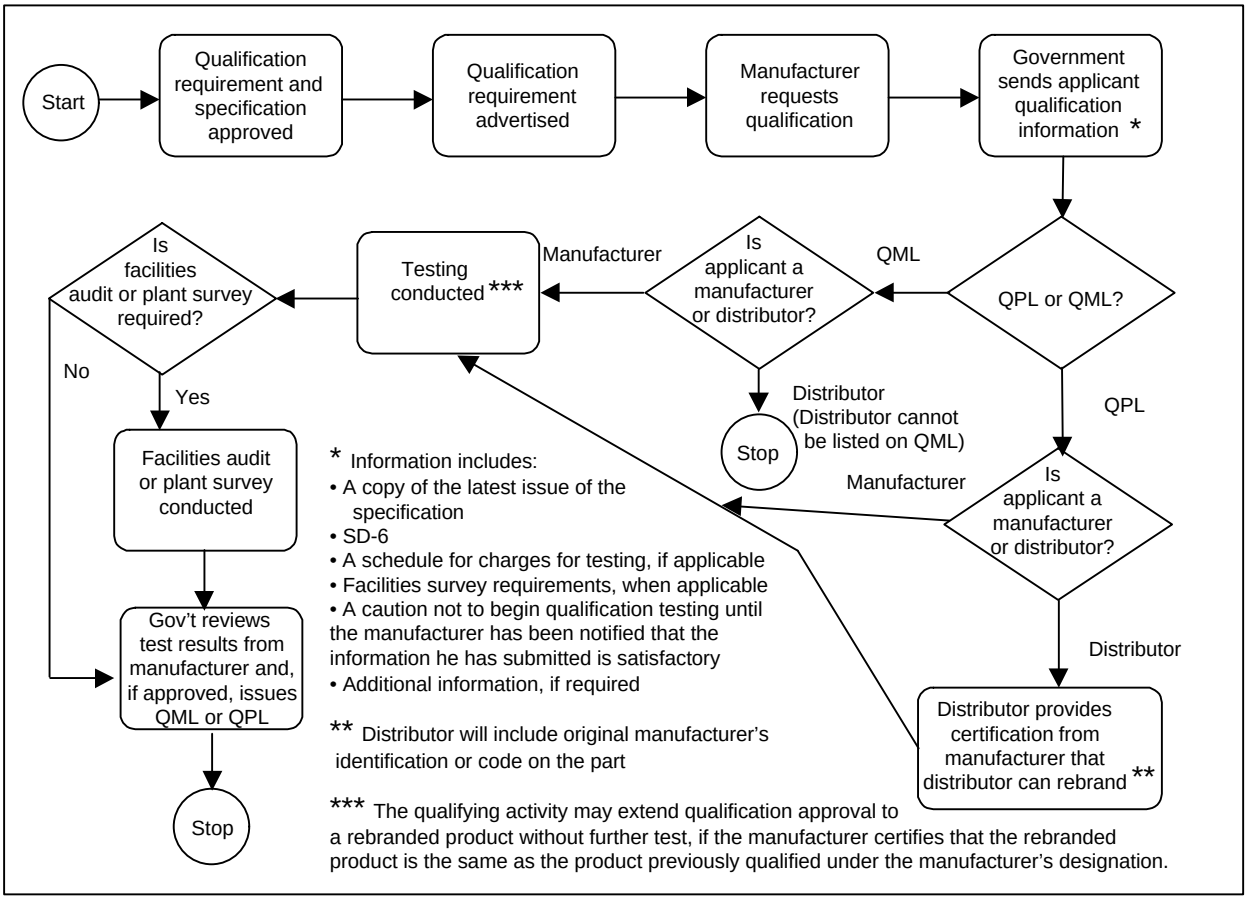

Figure 3-1. Initial Qualification Process

RESPONSIBILITIES

Manufacturer's Obligations

The manufacturer will maintain process and quality control procedures that ensure that the items continually comply with all specification requirements. He will immediately report any discrepancies disclosed during testing or periodic reexamination of the product and his production process controls. He will ensure that delivered items continually conform to all specified product performance, quality, and reliability requirements.

Manufacturer's Limitations

A manufacturer may advertise that a qualified product has received DoD qualification, but may not state or imply that the product is the only one of that type so qualified or that the Department of Defense in any way recommends or endorses the manufacturer's product in preference to the other qualified products. Violation will be cause for removal of the product or the manufacturer from the applicable list and possible suspension, debarment, or referral for criminal investigation. Further, if the product is not actually listed on a QPL or QML, or if a letter of notification of approval has not been received from the qualifying activity, the manufacturer may not:

- State, certify, or mark products as QPL or QML.
- Advertise that products are on QPL or QML.
- In any way imply that a product is qualified.

User Obligations

Users of the list will take necessary measures to ensure that the qualified products comply with the applicable specification requirements. In support of the qualification program, the procuring activity for a qualified product is required to, and users of the list are encouraged to:

- Promptly report to the qualifying activity and to the manufacturer any known or suspected nonconformance of military qualified products.
- Submit to the qualifying activity periodic summaries of receiving, inspection, and in-plant quality control monitoring results that reveal adverse quality and reliability trends.
- Provide feedback data, based on field information to the qualifying activity and to the manufacturer to support continuous improvement of the process.

Government Obligations

Initial or periodic government surveillance conducted by the qualifying activity or the delegated government quality assurance representatives does not relieve the manufacturer, authorized distributor, or user of the list of the responsibility to exercise adequate process and product quality control procedures. The qualifying activity will serve as the Department of Defense focal point to consolidate findings and recommend corrective action for qualification problems.

Depending on the gravity of the problem, contract administration activities may refuse to accept suspect end items until the problem is resolved or the contractor's compliance with contract requirements has been verified. The government will not knowingly accept material that contains suspected nonconforming parts.

The qualifying activity will notify those agencies responsible for acceptance of end item equipment. It will advise them of the nature of the problem and the degree of risk and urgency in the situation, and if necessary, call a meeting to discuss the problem.

The qualifying activity will also indicate the action taken with the supplier or determine the action required. It will disseminate information immediately including potential operation problems if items are built into equipment.

If necessary, the qualifying activity will establish a task force to investigate the problem and develop a recommended solution. It will disseminate the information to government and industry parties affected by the action. Recommendations should include enough engineering data that decisions can be made concerning the identification and disposition of nonconforming items.

Government Obligations for Nonconforming Products

The following actions will occur when the possibility of nonconforming products is suspected regarding a qualified product:

a. The activity that discovers or receives a report of a potential problem will notify the qualifying activity.

b. The qualifying activity will conduct a preliminary evaluation, suspend the manufacturer from further shipping the suspected QPL/QML product, and complete a risk assessment of the problem.

c. The qualifying activity will notify the specification's preparing activity, the DSPO, the appropriate quality and procurement offices, the DepSOs, the other government agencies, and the industry associations of the possible nonconformance (technical problem or specific violation) affecting field usage.

d. The qualifying activity will initiate corrective action plans (as applicable) and when necessary, initiate removal of parts or manufacturers from the QPL or the QML, in accordance with subsection AP2.8.1. of DoD 4120.3-M, *Defense Standardization Program (DSP) Policies and Procedures*.

e. The qualifying activity will instruct manufacturers to prepare and coordinate issuance of a Government Industry Data Exchange Program (GIDEP) ALERT or Problem Advisory. The qualifying

activity should prepare and issue the GIDEP ALERT or Problem Advisory when the manufacturer is reluctant or slow in doing so. The qualifying activity should use GIDEP actions or Agency notices to notify part users of the problem.

f. The qualifying activity will have the manufacturer conduct a self audit to identify the problem areas and will have the manufacturer prepare a corrective action plan.

g. The qualifying activity will gather independent testing information and prepare verification action.

Review and Recertification of Qualification Requirement

Every two years the preparing activity will review specifications that contain a requirement for qualification to determine whether there is a need to continue the qualification requirement. The preparing activity will consider whether more definitive requirements for the product, advances in manufacturing techniques and quality control methods, or improvements in testing apparatus and techniques may have eliminated the need for qualification.

To retain qualification approval of products, one of the following actions is required:

- Certification by the manufacturer.
- Periodic submission of new test data as required in the specification or requested by the qualifying activity.
- Complete requalification testing, as may be required in the specification or by the qualifying activity.

At the time of the two-year review, the qualifying activity will request that the manufacturer complete a DD Form 1718, "Certification of Qualified Products," when the applicable specification does not contain a retention of qualification requirement. The form asks whether:

- The listed product or products are still manufactured at the plants shown on the listing.
- The plants are still under the same management.
- The product is being manufactured under the same conditions as when it originally was qualified. The process, materials, construction, design, and manufacturer's part number of designation are still the same.

- The product meets the requirements and tests of the latest issue of the specification.
- Any product change has been made since the date the product was qualified.

Reexamination and Retest

The qualifying activity will determine, based on specification or product changes and other available data, whether items need to be removed from the QPL or the QML until retesting is complete, or whether removal can be delayed pending the outcome of the tests or receipt of additional data. If the qualifying activity retains the item on the QPL or the QML, it establishes a maximum time limit for submission of the samples or test data before removal. The qualifying activity will require the reexamination of a qualified product:

- If the manufacturer has modified the product or changed the material or processing so that the validity of previous qualification is questionable.
- If the requirements in the specification have been revised to affect the characteristics of the product.
- When questionable performance reports make it necessary to determine that the product continues to meet all the specification requirements.
- When retention-of-qualification requirements in the specification required reexamination.

During the two-year review, the qualifying activity will identify any specifications (including specification sheets) for which no product has been qualified and determine whether any products are being tested for qualification. If not, the qualifying activity shall notify the preparing activity. The preparing activity will eliminate the qualification requirement, or cancel the specification if the product is not needed.

REMOVAL FROM A LISTING

When a manufacturer or authorized distributor fails to comply—or demonstrates an inability to comply—with specification requirements, the following activities occur. First, the qualifying activity will require the manufacturer to suspend shipment of suspected products and then remove the product or process and materials from the QPL or QML as necessary. Removal could include a broad range of

directly or indirectly affected products, possibly the manufacturer's entire family of qualified products. Second, the qualifying activity removes the manufacturer's certification or imposes stop shipment or suspensions (when applicable under the specification). The qualifying activity may remove a product, a manufacturer, or a process; decertify a manufacturer; or stop shipment when such action is necessary to protect the government's interest and the interest of the users of the QPL or the QML. Here are the circumstances under which adverse actions or removal might be warranted:

1. The product or process offered under contract does not meet the requirements of the specification.
2. The manufacturer has discontinued manufacture of the product, or has changed design, materials, or processes to such an extent that the product no longer meets the requirements of the specification.
3. The manufacturer or authorized distributor requests that he or his product or process be removed from the list.
4. One or more of the conditions under which qualification was granted (including the JAN branding, J branding, or family of products policies) has been violated.
5. The requirements of a revised or amended specification differ sufficiently from the previous issue so that existing test data are no longer applicable for determining compliance.
6. A manufacturer fails to notify the qualifying activity of a change in design, material, manufacturing, process (including quality conformance), or plant location.
7. The product is produced by a contractor, firm, or individual whose name appears on "The Consolidated List of Debarred, Suspended, and Ineligible Contractors."
8. The manufacturer has not complied with the retention of qualification requirements.
9. The manufacturer has violated the advertisement restrictions.
10. The manufacturer, although invited to do so, has not bid on government contracts for the product for ten consecutive solicitations or for a period of two years during which solicitations were issued, whichever is less.
11. Performance, quality or reliability problems are detected in a manufacturer's products.

Procedures for Removal

The procedures below apply to removal of a product or a family of products from a listing:

If the decision to remove a product or process from a listing is made because of reasons 1, 4, 6, 8, or 9 above, the circumstances which gave rise to the action will be considered. The product or processes will be returned to the listing if the deficiencies are corrected to the government's satisfaction.

Factors to be considered in making that determination are the seriousness of the deficiencies, the circumstances under which those deficiencies came to light (for example, government audit or voluntary disclosure), and whether circumstances indicate that such actions were intentional, were fraudulently motivated, or reflect a repeated or continuing course of conduct.

When the decision has been made that a product, family of products, or process is to be removed from a listing, the qualifying activity will send the manufacturer or authorized distributor a written notice (registered, with a return receipt requested) which describes the action taken and gives the reasons for removal. Unless the notice indicates otherwise, removal from the listing will be effective on the date of the notice. The qualifying activity will furnish copies of the notification of removal to interested DoD elements and other government agencies.

Publication of Removal

When the qualifying activity determines that it would be in the government's interest to notify government organizations and contractors that a product has been removed by adverse action, it will publish such notification in the *Commerce Business Daily,* with a GIDEP Alert, Problem Advisory, in related trade publications, or by other appropriate methods. The qualifying activity will publish such notification as soon as practicable.

The notification will include the QPL or the QML identification number, the name and title of the government representative, and the name and address of the government installation. It will also include a statement that "Notification is herewith given that the following product [for QML, process (es)] was removed from QPL-XXXXX (or QML-XXXXX) on (date)."

CHAPTER 4:

QUALIFICATION TESTING PROVISIONS

TEST POLICY

Products will be tested and placed on lists in a way that will achieve economy for the government and fair treatment for all manufacturers with the capability to meet the performance as defined by the requirements in the specification. The qualifying activity will not:

- Authorize qualification examination and testing until an approved and dated specification is available.
- Use a specification containing a qualification requirement until the completion of qualification tests has resulted in approved products or manufacturers, except in an emergency (defined as a "life- or mission-threatening situation").
- Use test data collected outside the purview of qualification tests (for example, first article test data) as the basis for qualification approval, except in an emergency determined by the qualifying activity to be a "life- or mission-threatening situation," or unless the data was generated under the cognizance of the qualifying activity.

Tests will be conducted at the place specified in a letter of authorization sent by the preparing activity or its authorized agent. Testing may not be initiated prior to authorization of tests. The manufacturer and the test laboratories that perform the qualification testing shall prepare a test report for submission to the qualifying activity as required. The costs of tests will normally be borne by the applicant. The letter authorizing the tests will state whether the cost of tests is to be borne by the government, the applicant, or is to be shared (prorated) between them. The applicant may be required to pay the entire cost, or a large amount of the cost, of retesting his product after initial failure.

A letter (or form) authorizing the tests will be furnished to the applicant when the required information has been furnished and found satisfactory by the qualifying activity.

Action On Test Results

The preparing activity (qualifying activity) will analyze the results of laboratory tests to determine if the product is qualified. The manufacturer will be notified of the results of the tests and will be informed whether or not his product or process qualifies under the requirements of the applicable specification. A copy of the letter will be furnished to the distributor, if the distributor is the applicant. DoD policy is to have the manufacturer notify the responsible activity of any change in design, material, manufacturing processes (including quality control), or plant location. Thus, the notification letter will specify the changes that must be brought to the attention of the qualifying activity by the manufacturer.

Authorization For Retest

If qualification is disapproved or testing is discontinued, retesting of the product or process will not be authorized until satisfactory evidence is furnished to the activity responsible for qualification, or its authorized agent, that all of the defects which were disclosed by previous tests have been corrected. The preparing activity (qualifying activity) is solely responsible for determining whether the evidence is satisfactory.

TEST PROCESS

In Laboratories Owned By Or Contracted To Government

Samples for testing will be supplied by the applicant at no expense to the government. The cost to be borne by the applicant, if any, will be stated in the letter authorizing the tests. The government will not be responsible for any expense resulting from:

- Shipment of the samples to or from the laboratory.
- Damage during test.
- Damage or loss of sample while at the laboratory.

The applicant will forward the product for test in accordance with the shipping instructions furnished in the letter authorizing the tests. Adequate operating instructions must be included. Testing will be undertaken as promptly as practicable after authorization. The following rules will apply:

- The time of test will be set at the convenience of the government. The applicant may observe, but not take an active

part in, the test if he obtains permission from the laboratory in advance.

- The applicant may make repairs and replacements after the product has been received at the laboratory or place of test, prior to test, if it is it evident that such repairs or replacements are required as a result of damage in shipment.

- The applicant may make minor modifications to the product on the test floor if, in the opinion of the preparing activity or authorized agent, such modification will improve the product sufficiently to enable it to meet the specification requirements. Any modification permitted will be recorded in the test report.

- Major modifications are not permitted in the laboratory, except under unusual circumstances, and the laboratory will refer such cases in writing to the preparing activity or authorized agent for decision as to whether or not the proposed changes will be permitted.

Qualification tests may be discontinued at the discretion of the testing laboratory at any time the product fails to meet any of the requirements of the specification.

If the applicant requests (and includes shipping instructions), samples will be returned "as is" after testing at the applicant's expense, unless they were destroyed in testing.

Tests in Non-government Laboratories

The applicant will supply samples for testing at no expense to the government. The government will not be responsible for any expense associated with qualification tests in laboratories not operated by or contracted by the government. Testing may be performed by the manufacturer when authorized by the qualifying activity.

Authorization For Conducting Qualification Tests

The preparing activity or its authorized agent, identified in Section 6 of the specification, will determine (upon the basis of the application, on-site inspection when required, and such additional information available to it) whether the test facilities proposed by the applicant are suitable and whether the applicant complies with the requirements of the provisions governing qualification.

Successful applicants will receive written authorization for conducting the qualification tests. Qualification testing may be

conducted only after the preparing activity or its authorized agent has authorized such testing in writing. Unsuccessful applicants will be apprised of the basis of rejection and may reapply after the cause of rejection has been eliminated.

TEST REPORTS

The results of the qualification tests will be documented in a test report to the responsible activity. All tests required by the applicable specification will be performed, unless testing has been terminated because the product or process failed to pass a test.

The manufacturer or the testing laboratory will prepare test reports in accordance with the instruction of the qualifying activity that include a title page, an abstract, and a basic section.

Cover or title page. The cover or title page will include the following information:

- Date of report.
- Test report number assigned by testing laboratory.
- Specification title, number and date, including amendments and sheet numbers and dates.
- Name and mailing address of the manufacturer and complete address of plant location.
- When required by the qualifying activity, authorization for testing (reference to the letter authorizing the tests) and associated test report number.
- Name and location of testing laboratory.
- Purpose of tests (qualification, retention of qualification, or requalification).
- Specification type, grade, class, or other designator with corresponding applicant's designation.
- Proprietary marking, when applicable.

Abstract. A single page abstract synopsizing the performance and noting the numbers of samples that failed and passed the tests will be included.

Basic Section. The basic section will contain the following:

- A listing and description of all test equipment used. The description will include the applicable specification paragraph,

the equipment name and manufacturer (including type, model and serial or inventory number), and the date of calibration, if applicable, and (when requested) traceability of calibration to national or other recognized standards.

- Summary test data sheets showing specification requirements and indicating average results if required by the specification and whether each unit passed or failed. Individual headings should be included on original data sheets, which will be forwarded to and retained by the preparing activity or its authorized agent.

- A comparison of the test results with the specification requirements along with corresponding type, class, grade, or other specification designations and manufacturer's designation.

- Original version of curves, graphs, photographs, or other descriptive material required by the preparing activity or authorized agent.

The test report will be signed by a responsible officer or authorized representative of the testing laboratory or contractor. The above report will be prepared whether the samples pass or fail the tests required by the applicable specification.

Submission And Review Of Test Report

The manufacturer or the testing laboratory as required by the qualifying activity will prepare and forward the specified number of copies of the test report (including, when specifically requested, original data records) to the activity responsible for qualification or its authorized agent.

The government representative retains one copy of the report and forwards the other copies to the activity responsible for qualification. Each copy of the report will bear the government representative's certification as to its validity when requested by the qualifying activity. This certification is detailed enough to indicate the extent of observation of the tests, i.e., whether the observation was on a full-time basis or part-time basis. The extent to which the government representative engaged in validating the tests will be indicated by his reflecting in his report, as appropriate, test operations and conditions which he was able to observe during the monitoring of the qualification tests and examinations.

Certification by the government representative that the tests were monitored does not mean that the results are acceptable to the government. Certification signifies only that the government representative witnessed the conduct of the qualification examination and testing.

The government representative's letter of transmittal contains his recommendation for action.

The preparing activity (qualifying activity) will determine whether the product conforms to the requirements of the specification, based on the test report, or on a recommendation from its agent, in conjunction with any other information available.

APPENDIX A:

DEFINITIONS

Activity. One of the organizational elements of the military departments, defense agencies. or civilian agencies.

Adopting activity. The activity responsible for the adoption of a non-government standard.

Agent. An activity which acts for, and by authority of, the preparing activity (or adopting activity). It prepares standardization documents, item reduction studies, engineering practice studies, and the administration of QPLs and QMLs. The preparing activity retains responsibility and approval authority for the work accomplished.

Applicant. The manufacturer or distributor making application for qualification of a product.

Civilian agency. A federal agency other than the Department of Defense.

Custodian. The activity responsible for resolving and consolidating coordination comments for standardization documents or studies in its department or agency and submitting those comments to the preparing activity.

Defense specification. A document that describes the essential technical requirements for purchased materiel that is military unique or a substantially modified commercial item.

Defense Standardization Council. A council composed of executive-level representatives from the military departments and the defense agencies, chaired by the Defense Standardization Executive. The Council provides senior management oversight and direction for implementing the defense standardization program and the acquisition reform initiatives related to specifications and standards.

Defense Standardization Executive. The chair of the Defense Standardization Council.

Departmental Standardization Office (DepSO). A top-level office in each military department or defense agency responsible for managing the defense standardization program. It ensures that its Lead Standardization Activities and Standardization Management Activities properly implement the policies, procedures, and goals of the defense standardization program.

Department of Defense Index of Specifications and Standards (DoDISS). A publication that lists defense and federal specifications and standards, guide specifications, and defense handbooks, commercial item descriptions (CIDs), adopted NGSs, and other related standardization documents used by the DoD.

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Detail specification. A specification that specifies design requirements, such as materials to be used, how a requirement is to be achieved, or how an item is to be fabricated or constructed. A specification that contains both performance and detail requirements is still considered a detail specification.

Distributor. Anyone authorized by the manufacturer to distribute the manufacturer's product. Any distributor authorized by the manufacturer to rebrand and distribute a product under the distributor's own brand is included.

Federal specification. A specification issued or controlled by the General Services Administration (GSA) for commercial or modified commercial products, which contains requirements or tests too extensive to be suitable for a CID.

JAN brand. The designation "JAN" or "J" (Joint Army/Navy) is a U.S. Military registered mark of certification; i.e., Patent Registration No. 504,860. The certification mark "JAN" or "J" certifies that the electronic part covered under the registered mark is manufactured in accordance with current applicable government specifications. (The "J" brand is used when the size of the part does not provide adequate space for the "JAN" brand.)

Lead Standardization Activity (LSA). A management activity in a military department or a defense agency that guides DoD standardization efforts for a federal supply group (FSG), a federal supply code (FSC), or a standardization area through the authorization of standardization projects and identification and resolution of standardization issues. SD-1, *Standardization Directory*, identifies the Lead Standardization Activities.

Manufacturer. The actual producer that is responsible for the fabrication or assembly of the final product, as defined by the specification.

Non-government standard (NGS). A national or international standardization document developed by a private sector association, organization, or technical society that plans, develops, establishes, or coordinates standards, specifications, handbooks, or related documents. This term does not include standards of individual companies. Non-government standards adopted by the DoD are listed in the ASSIST database.

Preparing activity. The DoD activity or the civilian agency responsible for the preparation, coordination, issuance, and maintenance of standardization documents.

Producer. The actual manufacturer of parts or materials that are not used as end items, but are processed or incorporated into designed equipment. This term distinguishes a producer from an equipment manufacturer who uses the parts and materials in his or her equipment.

Product. Includes materials, parts, components, subassemblies, assemblies, and equipments. The term "product" also encompasses a family of products. A family of products is defined as: all products of the same classification, design, construction, material, type, and other design characteristics; produced with the same production facilities, processes, and quality of material, under the same management and quality controls; but having the acceptable variety of physical and functional characteristics that is defined and specified in the applicable specification.

Qualification. A process in advance of, and independent of, an acquisition by which a manufacturer's capabilities, or a manufacturer's or distributor's products, are examined, tested, and found to conform to specification requirements. The process includes the subsequent listing of products on a qualified products list (QPL) or manufacturers on a qualified manufacturers list (QML).

Qualified Manufacturers List (QML). A list of manufacturers' facilities that have been evaluated and determined to be acceptable based on the testing and approval of a sample specimen and the specimen's conformity to the applicable specification. Information provided in the QML includes:

- identification of the appropriate product, process, or technology.
- the test or qualification reference.
- the name and plant address of the manufacturer or distributor.

Qualified product. A product that has been examined, tested, and listed in, or approved for listing in, the applicable QPL.

Qualified Products List (QPL). A list of products that have met the qualification requirements stated in the applicable specification. The entry for each listed item includes the appropriate product identification, the test or qualification reference, and the name and plant address of the manufacturer and distributor, as applicable.

Qualifying activity. A function of the preparing activity or adopting activity of the specification, or its designated agent, as specified in the specification or as directed by the national qualification agency (NQA).

Specification. A document prepared to support acquisition that describes the essential technical requirements for purchased materiel and the criteria for determining whether those requirements are met.

Standard. A document that establishes uniform engineering or technical criteria, methods, processes, and practices.

Standardization Directory **(SD-1)**. A publication that identifies standardization responsibility assignments by Federal Supply Classes, Federal Supply Groups, and standardization areas. It also includes addresses, telephone numbers, and points of contact for the military offices, civilian agencies, and non-government standards bodies participating in the defense standardization program.

Standardization document. A generic term for a document used to standardize an item of supply, process, procedure, method, data, practice, or engineering approach. Standardization documents include defense specifications, standards, and handbooks; federal specifications and standards; guide specifications; CIDs; and NGSs.

Testing laboratory. A laboratory that performs examination and testing. That laboratory may be one of the following:

- A laboratory operated by, or under contract to, the government.
- A laboratory used by the manufacturer or distributor either in-plant or under contract.

APPENDIX B:

ACRONYMS

CAGE	Commercial and Government Entity
CID	Commercial Item Description
DepSO	Departmental Standardization Office
DoD	Department of Defense
DoDISS	Department of Defense Index of Specifications and Standards
DoDSSP	Department of Defense Single Stock Point
DSP	Defense Standardization Program
DSPO	Defense Standardization Program Office
FAR	Federal Acquisition Regulation
GIDEP	Government and Industry Data Exchange Program
GSA	General Services Administration
IEC	International Electro-Technical Committee
ISO	International Standardization Organization
JAN	Joint Army/Navy
LSA	Lead Standardization Activity
NATO	North Atlantic Treaty Organization
NCA	National Coordinating Activity
NGS	Non-Government Standard
QML	Qualified Manufacturers List
QPL	Qualified Products List
U.S.C.	United States Code

APPENDIX C:

REFERENCES

DoD 4120.3-M, *Defense Standardization Program Policies and Procedures*, Draft, September 1, 1998

DoD Index of Specifications and Standards

Federal Acquisition Regulation, current edition

NATO STANAG 4093, "Mutual Acceptance by NATO Member Countries of Qualification of Electronic and Electrical Components for Military Use," Edition No. 4, January 22, 1993

SD-1, *Standardization Directory*

Section 552 of Title 5, United States Code

Section 2319 of Title 10, United States Code